

<b>Contact Person</b>	Dan Kayser, 294-7923	<b>Revision</b>	6.0
<b>Document</b>	Plan 10200.025	<b>Effective Date</b>	07/01/2013
		<b>Review Date</b>	07/01/2016

## Ames Laboratory National Environmental Policy Act Plan

The Ames Laboratory National Environmental Policy Act (NEPA) Plan shall ensure that all Division and Program Directors and Department Managers properly address environmental concerns involving their research and/or operational activities. The Plan will also ensure environmental concerns of site investigation and restoration activities are addressed.

### 1.0 APPROVAL RECORD

- Reviewed by: Document Control Coordinator (Amy J. Tehan)
- Approved by: Quality Assurance Manager & ESH&A Manager (Tom E. Wessels)
- Approved by: Chief Operations Officer (Mark L. Murphy)
- Approved by: Associate Laboratory Director for Sponsored Research Administration (Debra L. Covey)
- Approved by: Assistant Director for Scientific Planning (Cynthia J. Jenks)
- Approved by: Chief Research Officer (Duane D. Johnson)
- Approved by: Deputy Director (Vacant)
- Approved by: Interim Director (Thomas A. Lograsso)

The official approval record for this document is maintained in the Training & Records Management Office, 151 TASf.

### 2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

### 3.0 PURPOSE AND SCOPE

The purpose of this plan is to ensure that proposed actions at Ames Laboratory are reviewed in accordance with the Council on Environmental Quality (CEQ) and the National Environmental Policy Act (NEPA) for the Department of Energy (DOE). Applicable CEQ guidance is in 40 CFR 1500 through 1508. DOE NEPA is found in 10 CFR 1021. Research activities and site investigation and restoration activities will be conducted in such a manner that worker and public safety, including protection of the environment, is given the highest priority. The Laboratory will comply with all applicable federal and state environmental laws and regulations.

#### Definitions

*Categorical Exclusion (CX):* Categorical Exclusions are a class of actions, as defined in CEQ Regulations in 40 CFR 1508 and listed in Section D, Appendix A, of the DOE NEPA guidelines (10 CFR 1021), that do not individually or cumulatively have significant impact on the human environment and for which neither an Environmental Assessment (EA) nor an Environmental Impact Statement (EIS) is normally required.

*NEPA Environmental Evaluation Notification Form (Form CH-560):* An Environmental Evaluation Notification Form is a Department of Energy comprehensive checklist that is utilized by the Laboratory's NEPA Coordinator to determine a proposed activities impact on the environment. The checklist may also be used to support a determination for a CX or for a recommendation to a

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Secretarial Officer in support of a preliminary proposal form (where authority has not been delegated to the Chicago Operations Office Manager).

*Environmental Assessment (EA):* An Environmental Assessment is a document defined in 40 CFR 1508 that assesses whether a proposed action is a “major federal action significantly affecting the quality of the human environment,” and serves as the basis for determining whether to prepare an EIS or a Finding of No Significant Impact (FONSI).

*Environmental Impact Statement (EIS):* An EIS is a document defined in 40 CFR 1508 and prepared in accordance with the requirements of Section 102(2)(C) of NEPA for DOE, the CEQ regulations, and the DOE NEPA guidance. The EIS thoroughly details the environmental impacts of a proposed action.

*ES&H Hazard Identification Checklist ([Form 10200.003](#)):* This is an internal form that helps the Project Manager and ESH&A identify hazards associated with the proposed activity.

*Finding of No Significant Impact (FONSI):* A FONSI is a document defined in 40 CFR 1508.13 of the CEQ Regulations. It is prepared to record a decision that the environmental impacts of a proposed activity considered in an EA will not have a significant effect on the environment, and that an EIS is not required for the proposed action.

*Preliminary Proposal Form (Form 10100.001):* The principal investigator completes this form. The form contains a concise description of a proposed activity and discussion of relevant potential environmental impacts intended to assist ESH&A and DOE Chicago Operations Office (DOE-CH) in determining the appropriate level of NEPA documentation needed for a proposed activity.

*Work Authorization System (WAS):* A comprehensive document describing research proposals and continuations, and requesting funding for the described work. NEPA and safety and health issues are addressed in the WAS for each project individually.

## 4.0 ROLES AND RESPONSIBILITIES

Line management is responsible for assuring minimal environmental impact by the Laboratory’s activities and for implementing the Laboratory’s environmental protection requirements. All employees are responsible for performing their work in a manner that complies with established environmental protection requirements. Employees are encouraged to suggest improvements in the environmental protection program. They have the right to bring to the attention of their supervisors or ESH&A any condition they believe is environmentally unsound or out of compliance with applicable environmental laws, regulations or orders. This plan applies to all employees at the main campus, the Applied Science Complex (ASC) and all spaces rented by the Laboratory.

### 4.1 **ESH&A Manager:**

The Deputy Director shall approve the Laboratory’s NEPA plan to ensure that environmental factors are adequately considered along with other action considerations in the decision making process. The ESH&A Manager has delegated the authority for signatory approval of NEPA documentation to the Laboratory’s NEPA Coordinator and the ESH&A Assistant Manager.

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#### 4.2 ***Division & Program Directors/Department Managers:***

Division & Program Directors and Department Managers are responsible for being knowledgeable of and implementing applicable environmental protection policies, procedures and directives. They are responsible for taking actions as required to assure that personnel and operations they supervise comply with requirements. This includes taking positive action to determine and reduce, to as low as reasonably achievable, the environmental impact associated with their activities. They will ensure that environmental factors are adequately considered along with other action considerations in the decision making process, and inform employees of the environmental hazards associated with their work.

#### 4.3 ***Project Manager(PM)/Principal Investigator(PI):***

If required by the NEPA Coordinator or the ESH&A Assistant Manager the PM/PI shall prepare, sign and date an environmental evaluation form for each applicable activity. They shall initiate and coordinate necessary environmental documentation, reviews, and permit applications during the appropriate phases of action development. They shall assess any potential environmental impacts and develop suitable mitigation measures to minimize these impacts. They shall coordinate the applications for any environmental permits through the ESH&A office, and provide the NEPA Coordinator with sufficient documentation in a timely manner so as not to delay the proposed action.

#### 4.4 ***Ames Laboratory NEPA Coordinator:***

The Ames Laboratory NEPA Coordinator shall provide the PM/PI with assistance concerning environmental factors that should be considered in action planning and execution. The NEPA Coordinator shall keep the ESH&A Manager advised of all NEPA activities. The NEPA Coordinator or ESH&A Assistant Manager shall review each Preliminary Proposal Form (Form 10100.001, see Appendix) and determine if the proposed activity falls under one of the following Laboratory CX's: 1) "Bench-Scale Research Projects and Conventional Laboratory Operations" or 2) "Renovations and Maintenance Activities for Buildings, Structures and Equipment." (See Appendix). In coordination with the ESH&A Manager, the Coordinator shall advise the PM/PI and the applicable Program Director/Department Manager, of noncompliance with applicable laws and regulations, and Ames Laboratory or DOE policies. The Coordinator shall conduct reviews of the environmental evaluations for accuracy and completeness, and sign, date and transmit them to DOE-Chicago Operations Office. The NEPA Coordinator shall process and coordinate all necessary environmental permit applications through the DOE-Chicago Operations Office, and shall transmit DOE NEPA determinations and information requests to the appropriate Project Manager. The ESH&A Office shall maintain environmental documentation for all actions, including NEPA documentation in a suitable format for compliance auditing.

#### 4.5 ***ESH&A Assistant Manager:***

The ESH&A Assistant Manager shall assume the duties of the NEPA Coordinator in his absence and shall have signature authority as delegated by the ESH&A Manager.

#### 4.6 ***Budget Officer:***

The Budget Officer will notify ESH&A when new funding is received for new and/or significantly modified research activities.

## 5.0 PREREQUISITE ACTIONS AND REQUIREMENTS

All new or continuing activities, including projects, programs, and activities entirely or partly financed, assisted, conducted, regulated or approved by DOE shall require NEPA evaluation prior to commencement of the proposed activity. Each work proposal shall be identified with one of the four Work Authorization Systems (WAS) categories. If NEPA documentation needs to be prepared for DOE approval, it shall result in a categorical exclusion (CX), an environmental assessment (EA), or environmental impact statement (EIS).

## 6.0 PROGRAM/POLICY/PROCEDURE INFORMATION

### 6.1 NEPA Policy

It is the policy of Ames Laboratory to conduct all its activities in an environmentally safe manner. This will be accomplished through formal reviews and evaluations at appropriate levels of the organizational structure.

### 6.2 NEPA Procedure

Work Authorization Systems (WAS) submissions, along with the ES&H Hazard Identification Checklist ([Form 10200.003](#)), are reviewed by the NEPA Coordinator and/or ESH&A Assistant Manager. The NEPA Coordinator or Assistant ESH&A Manager should be contacted during the preliminary proposal stage of all proposed activities. The preliminary proposal form (Form 10100.00, See Appendix) is reviewed by the NEPA Coordinator and/or the assistant ESH&A Manager. The DOE-CH NEPA Compliance Officer will be consulted as needed by the NEPA Coordinator. The NEPA Coordinator will provide guidance on the NEPA review process and on preparation of the environmental evaluation form, if required, to the appropriate personnel.

If the proposed activity does not fall under one of the Laboratory's CXs, as determined by the NEPA Coordinator, the Project Manager (PM)/Principal Investigator (PI) of the proposed activity must fill-out DOE's environmental evaluation form (Form CH-560, See Appendix). The NEPA Coordinator will assist in filling out this form to ensure completeness and accuracy. When the environmental evaluation has been satisfactorily prepared, the NEPA Coordinator will sign and date the form and transmit it to the DOE-CH NEPA Compliance Officer.

The environmental evaluation is reviewed by DOE-CH for accuracy and completeness. If the environmental form is found to be deficient in any way, the NEPA Coordinator will be requested by DOE-CH to obtain the additional information from the PM/PI. DOE's determination as to the level of NEPA documentation (i.e. CX, EA, or EIS) required for the proposed action is transmitted to the Ames Laboratory's NEPA Coordinator. DOE-CH has authority to approve CX's and some EA's. Upon receipt of the official notification from DOE-CH, the NEPA Coordinator notifies the PM/PI and the appropriate Program Director/Group Manager. Upon receipt of official notification from DOE-CH of a CX determination, the approved activity may proceed. If an EA or EIS is determined to be necessary, the Project Manager must respond to the DOE request by preparing the document and submitting it to DOE via the NEPA Coordinator. After a period of review and document on EA or EIS, DOE will notify the NEPA Coordinator of the final NEPA decision. The NEPA Coordinator will notify the PM/PI and appropriate Program Director/Department Manager of DOE's final decision.

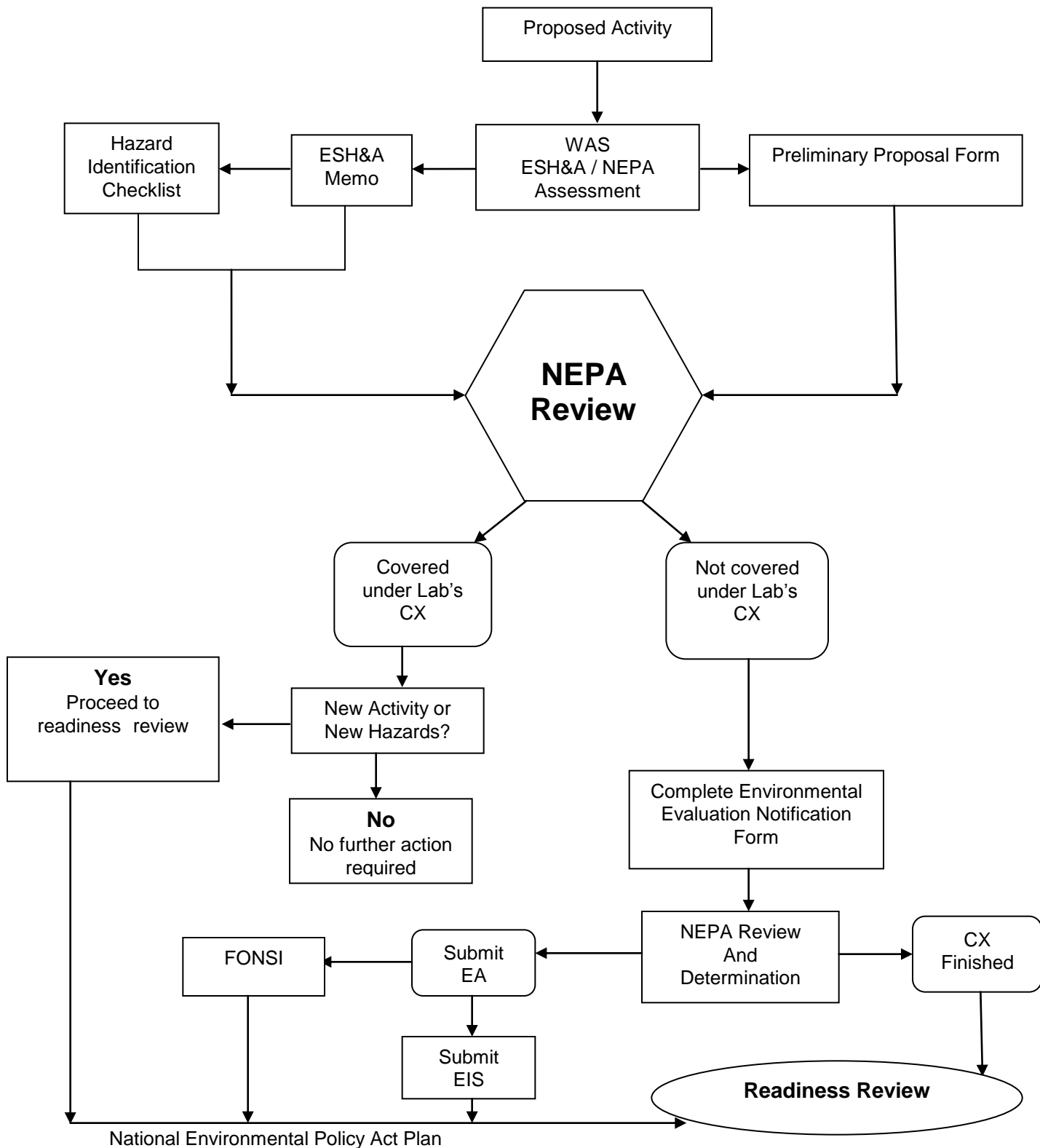
An additional step in the process at Ames Laboratory is supportive to the NEPA procedure. The Readiness Review ([Procedure 10200.010](#)) of a new activity addresses all safety, health and environmental concerns. The PM/PI and/or Program Director identifies any hazards

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associated with the proposed activity. ESH&A staff meets to discuss the concerns and to assign a lead specialist. The lead specialist works with the activity supervisor to resolve all safety and environmental concerns from project proposal, equipment procurement, testing and operation of the new activity.

## 7.0 ADDITIONAL INFORMATION

### NEPA REVIEW FLOW CHART



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## 8.0 APPENDIX ATTACHMENTS

- Preliminary Proposal Form (Form 10100.001)
- NEPA Environmental Evaluation Notification Form (Form CH-560)